



USAID | AFGHANISTAN

FROM THE AMERICAN PEOPLE

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Subject: Request for Applications (RFA) Number RFA-306-06-004 APSO
Afghanistan Community-Based Education

The United States Agency for International Development (USAID) is seeking applications for an Assistance Agreement for funding a program for Afghanistan Community-Based Education. The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended.

The Recipient will be responsible for ensuring achievement of the program objective to improve teaching and strengthen the teaching force in primary schools. It will develop the curriculum, syllabi and materials for training all primary school teachers and deliver that training through various channels, including face-to-face training and radio. The project will also strengthen the capacity of the Ministry of Education, particularly its Department of Teacher Training, to provide training and support to teachers. Please refer to the Program Description for a complete statement of goals and expected results.

Pursuant to 22 CFR 226.81, it is USAID policy not to award profit under assistance instruments. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the grant program and are in accordance with applicable cost standards (22 CFR 226, OMB Circular A-122 for non-profit organization, OMB Circular A-21 for universities, and the Federal Acquisition Regulation (FAR) Part 31 for-profit organizations), may be paid under the grant.

Subject to the availability of funds, USAID intends to provide approximately \$24 million in total USAID funding to be allocated over the five (5) year period. USAID reserves the right to fund any or none of the applications submitted.

For the purposes of this program, this RFA is being issued and consists of this cover letter and the following:

1. Section A - Grant Application Format;
2. Section B - Selection Criteria;
3. Section C - Program Description;
4. Section D - Certifications, Assurances, and Other Statements of Applicant/Grantee;
5. Section E - Annex

For the purposes of this RFA, the term "Grant" is synonymous with "Cooperative Agreement"; "Grantee" is synonymous with "Recipient"; and "Grant Officer" is synonymous with "Agreement Officer".

U.S. Agency for International
Development
Regional Development Mission/Asia
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93/1 Wireless Road
Bangkok, 10330 Thailand

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If you decide to submit an application, it should be received by the closing date and time indicated at the top of this cover letter at the place designated below for receipt of applications. Applications and modifications thereof shall be submitted in envelopes with the name and address of the applicant and RFA # (referenced above) inscribed thereon.

Applications should be sent electronically as email attachments (5MB limit) to apsobangkok@usaid.gov. File formats must be compatible with Microsoft Windows environment (Word, Excel, Lotus 123, etc.). Multiple emails may be sent to accommodate the application size and content, but each must contain very clear identification of the attachment and instructions for assembling the application. Applicant may also send an Adobe Acrobat portable document format (*.pdf) for electronic submission; However, zipped files attachments are not accepted by the USAID email system. Fax and telegraphic applications will not be accepted. Only those pages requiring original manual signatures may be sent via facsimile

If sent by hand-carry or via courier, technical portions of applications should be submitted in an original and 5 (five) copies and cost portions of applications in an original and 2 (two) copies, along with a 3.5" diskette(s) or CD(s) containing one complete copy of the entire application compatible in a MS Windows environment to the issuing office.

If sent hand-carried or via courier, address:

Afghanistan Procurement Support Office
USAID Regional Development Mission/Asia
Diethelm Towers A, 5th Floor
93/1 Wireless Road
Bangkok 10330, Thailand

Attention: Riana O. Napitupulu, Sr. Acquisition & Assistance Specialist
Telephone: (66-2) 263-7428
Fascimile: (66-2) 263-7496

Technical and Cost/Business applications must be kept separate from each other. Technical applications must not make reference to pricing data in order that the technical evaluation may be made strictly on the basis of technical merit.

Applicants are requested to submit both technical and cost portions of their applications in separate volumes. Award will be made to that responsible applicant(s) whose application(s) offers the greatest value.

Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of an application. In addition, final award of any resultant grant(s) cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award. Applications are submitted at the risk of the applicant; should circumstances prevent award of a cooperative agreement, all preparation and submission costs are at the applicant's expense.

The preferred method of distribution of USAID procurement information is via [Fedgrants.gov](http://www.fedgrants.gov) on the World Wide Web (www). This RFA and any future amendments can be downloaded from the Agency Web Site. The World Wide Web Address is <http://www.fedgrants.gov>. Select "Applicant", then click on "USAID Offices", and select the appropriate location and search for the RFA. If you have difficulty with accessing the RFA, please contact Ms. Mercedes Williams at 202-712-1799 for technical assistance. Receipt of this RFA through

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Fedgrants.gov must be confirmed by written notification to the contact person noted below. It is the responsibility of the recipient of the application document to ensure that it has been received from Fedgrants.gov in its entirety and USAID bears no responsibility for data errors resulting from transmission or conversion processes.

In the event of an inconsistency between the documents comprising this RFA, it shall be resolved by the following descending order of precedence:

- (a) Section II - Selection Criteria;
- (b) Section I - Grant Application Format;
- (c) The Program Description;
- (d) This Cover Letter.

Any questions concerning this RFA should be submitted in writing to the undersigned, via facsimile at (66-2) 263-7496 or via internet at apsobangkok@usaid.gov no later than **December 8, 2005**. **No comments will be accepted after this date.** Please do not contact USAID/Afghanistan in Kabul directly since all communication must be through this office.

If there are problems in downloading the RFA off the INTERNET, please contact the USAID INTERNET Coordinator on (202) 712-4442. Applicants should retain for their records one copy of all enclosures which accompany their application.

Thank you for your interest in USAID programs.

Sincerely,

A handwritten signature in black ink, appearing to read "Kenneth Barberi". The signature is fluid and cursive, with the first name "Kenneth" and last name "Barberi" clearly distinguishable.

Kenneth Barberi
Agreement Officer

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SECTION A - GRANT APPLICATION FORMAT

PREPARATION GUIDELINES

All applications received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Section II addresses the technical evaluation procedures for the applications. Applications which are submitted late or are incomplete run the risk of not being considered in the review process. "Late applications will not be considered for award" or "Late applications will be considered for award if the Agreement Officer determines it is in the Government's interest."

Applications shall be submitted in two separate parts: (a) technical and (b) cost or business application. Both the Technical portions of applications and Cost portions of applications have to be submitted in original.

The application should be prepared according to the structural format set forth below. Applications must be submitted no later than the date and time indicated on the cover page of this RFA, to the location indicated on page 3 of the cover letter accompanying this RFA.

Technical applications should be specific, complete and presented concisely. The applications should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program. The applications should take into account the technical evaluation criteria found in Section II.

Applicants should retain for their records one copy of the application and all enclosures which accompany their application. Erasures or other changes must be initialed by the person signing the application. To facilitate the competitive review of the applications, USAID will consider only applications conforming to the format prescribed below.

Applications should be sent electronically as email attachments (5MB limit) to apsobangkok@usaid.gov. File formats must be compatible with Microsoft Windows environment (Word, Excel, Lotus 123, etc.). Multiple emails may be sent to accommodate the application size and content, but each must contain very clear identification of the attachment and instructions for assembling the application. Applicant may also send an Adobe Acrobat portable document format (*.pdf) for electronic submission; However, zipped files attachments are not accepted by the USAID email system. Fax and telegraphic applications will not be accepted. Only those pages requiring original manual signatures may be sent via facsimile

GENERAL INSTRUCTIONS FOR PREPARATION OF APPLICATIONS

Technical Application

TECHNICAL APPROACH

The applicant shall propose plans for reaching the results specified in this Program Description under the conditions in Afghanistan, as described here and elsewhere. In addition, applications will be evaluated on the effectiveness and soundness of the monitoring and evaluation plan as it relates to quantifiable measurement of progress and results, with appropriate communication strategy for disseminating timely information to management and USAID. The plan should include but not be limited to a mid-term evaluation. While there is no page limit for the technical application, length, in and of itself, is not an asset. Applications should be as concise as possible. Whenever appropriate, they should explain why one strategy or approach is selected over alternative approaches. Gender integration is an important part of programmatic plan/approach. To the greatest extent possible, the applicant will seek to include both men and women in all aspects of this program.

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The applicant must provide a realistic mobilization plan which will detail the timeframe for mobilizing staff and other resources to get the activity running efficiently and promptly. The application should reflect an awareness of security issues around U.S. presence in Afghanistan and the potential for USAID cooperation with other U.S., international, and local agencies.

INSTITUTIONAL/CORPORATE CAPABILITY

Institutional/corporate capability should show demonstrated evidence of effectiveness in organization, staffing and management of relevant community-based education programs, as well as demonstrated capability to coordinate diverse activities that produced documented, quantifiable effective results; and ability to work in post-conflict, highly insecure environments.

KEY PERSONNEL/MANAGEMENT

The application shall name candidates for key personnel positions, including those of each member of the consortium (if there is a consortium). In the annex on personnel, it shall provide a brief biographical sketch and a resume (no longer than three pages) for each candidate. Key personnel must have experience working in community schools in post-conflict countries. Experience in Afghanistan is not essential, but is considered a strong asset. Key personnel should have a good understanding of the issues and challenges in supporting education at the community level.

The applicant is encouraged to include local and regional personnel, as staff and sub-recipient organizations. The Recipient should seek to include both men and women candidates. Each resume of key personnel shall be accompanied by a signed letter of commitment from the candidate indicating his/her: (a) availability to serve in the stated position, in terms of days after award; (b) intention to serve for a stated term of the service; and (c) agreement to the compensation levels which corresponds to the levels set forth in the cost application. As references will be checked for all proposed long-term personnel, a minimum of three references for each proposed long-term person is required. Applicants shall provide current phone, fax and email address of their contacts.

USAID encourages but does not require the formation of consortia to bid on this project. The applicant shall provide a management plan and organization chart, which should clearly depict how responsibilities and funds are allocated among all the partners in the offer. Although USAID does not necessarily expect a hierarchical management structure, it does expect an efficient interface and reporting structure, both to USAID and to the MOE. The applicant should describe these aspects of its management plan.

COST APPLICATION FORMAT

The Cost or Business Application is to be submitted under separate cover from the technical application. Certain documents are required to be submitted by an applicant in order for the Grant Officer to make a determination of responsibility. However, it is USAID policy not to burden applicants with undue reporting requirements if that information is readily available through other sources.

The following sections describe the documentation that applicants for Assistance award must submit to USAID prior to award. While there is no page limit for this portion, applicants are encouraged to be as concise as possible, but still provide the necessary detail to address the following:

- A. A copy of the program description that was detailed in the applicants' program description, on a 3-1/2" diskette, formatted in Word97.
- B. Include a budget with an accompanying budget narrative which provides in detail the total costs for implementation of the program your organization is proposing. The budget must be submitted using Standard

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Form 424 and 424A which can be downloaded from the USAID web site,
http://www.usaid.gov/procurement_bus_opp/procurement/forms/sf424/;

1. The breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices;
 2. The breakdown of all costs according to each partner organization involved in the program;
 3. The costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance;
 4. The breakdown of the financial and in-kind contributions of all organizations involved in implementing this cooperative agreement;
 5. Potential contributions of non-usaid or private commercial donors to this cooperative agreement;
 6. Your procurement plan for commodities (note that contraceptives and other health commodities will not be provided under this cooperative agreement).
- C. A current Negotiated Indirect Cost Rate Agreement;
- D. Required certifications and representations (as attached):
- E. Cost Sharing, matching arrangement and/or in-kind contribution from the recipient is encouraged, but not required. Any cost sharing proposed will be evaluated as part of the “Best Value” consideration.
- F. Applicants who do not currently have a Negotiated Indirect Cost Rate Agreement (NICRA) from their cognizant agency shall also submit the following information:
1. Copies of the applicant's financial reports for the previous 3-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID;
 2. Projected budget, cash flow and organizational chart;
 3. A copy of the organization's accounting manual.
- G. Applicants should submit any additional evidence of responsibility deemed necessary for the Grant Officer to make a determination of responsibility. The information submitted should substantiate that the Applicant:
1. Has an adequate financial resource or the ability to obtain such resources as required during the performance of the award.
 2. Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental.
 3. Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance.
 4. Has a satisfactory record of integrity and business ethics; and
 5. Is, otherwise, qualified and eligible to receive a grant under applicable laws and regulations (e.g., EEO).

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H. Applicants that have never received a grant, cooperative agreement or contract from the U.S. Government are required to submit a copy of their accounting manual. If a copy has already been submitted to the U.S. Government, the applicant should advise which Federal Office has a copy.

In addition to the aforementioned guidelines, the applicant is requested to take note of the following:

I. Unnecessarily Elaborate Applications - Unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of the applicant's lack of cost consciousness. Elaborate art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.

J. Acknowledgement of Amendments to the RFA - Applicants shall acknowledge receipt of any amendment to this RFA by signing and returning the amendment. The Government must receive the acknowledgement by the time specified for receipt of applications.

K. Receipt of Applications - Applications must be received at the place designated and by the date and time specified in the cover letter of this RFA.

L. Submission of Applications:

1. Applications and modifications thereof shall be submitted in sealed envelopes or packages (1) addressed to the office specified in the Cover Letter of this RFA, and (2) showing the time specified for receipt, the RFA number, and the name and address of the applicant.
2. Faxed applications will not be considered; however, applications may be modified by written or faxed notice, if that notice is received by the time specified for receipt of applications.

M. Preparation of Applications:

1. Applicants are expected to review, understand, and comply with all aspects of this RFA. Failure to do so will be at the applicant's risk.
2. Each applicant shall furnish the information required by this RFA. The applicant shall sign the application and print or type its name on the Cover Page of the technical and cost applications. Erasures or other changes must be initialed by the person signing the application. Applications signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.
3. Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, should:
 - a) Mark the title page with the following legend: "This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this application. If, however, a grant is awarded to this applicant as a result of - or in connection with - the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting grant. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets; and

- b) (b) Mark each sheet of data it wishes to restrict with the following legend: "Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application."

N. Explanation to Prospective Applicants - Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing within three weeks of receipt of the application to allow a reply to reach all prospective applicants before the submission of their applications. Oral explanations or instructions given before award of a Grant will not be binding. Any information given to a prospective applicant concerning this RFA will be furnished promptly to all other prospective applicants as an amendment of this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.

O. Grant Award:

1. The Government may award one or more Grants resulting from this RFA to the responsible applicant(s) whose application(s) conforming to this RFA offers the greatest value (see also Section II of this RFA). The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept more than one application (see Section III, Selection Criteria), (d) accept alternate applications, and (e) waive informalities and minor irregularities in applications received.
2. The Government may award one or more Grant(s) on the basis of initial applications received, without discussions. Therefore, each initial application should contain the applicant's best terms from a cost and technical standpoint.
3. Neither financial data submitted with an application nor representations concerning facilities or financing, will form a part of the resulting Grant(s).

P. Authority to Obligate the Government - The Grant Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed Grant may be incurred before receipt of either a fully executed Grant or a specific, written authorization from the Grant Officer.

Q. The Contractor/Recipient is reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the contractor/recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all subcontracts/sub-awards issued under this contract/agreement.

R. Foreign Government Delegations to International Conferences - Funds in this [contract, agreement, amendment] may not be used to finance the travel, per diem, hotel expenses, meals, conference fees or other conference costs for any member of a foreign government's delegation to an international conference sponsored by a public international organization, except as provided in ADS Mandatory Reference "Guidance on Funding Foreign Government Delegations to International Conferences [<http://www.info.usaid.gov/pubs/ads/300/refindx3.htm>] or as approved by the [CO/AO/CTO].

SECTION B - SELECTION CRITERIA

The criteria presented below have been tailored to the requirements of this particular RFA. Applicants should note that these criteria serve to: (a) identify the significant matters which applicants should address in their applications and (b) set the standard against which all applications will be evaluated. To facilitate the review of applications, applicants should organize the narrative sections of their applications in the same order as the selection criteria.

The technical applications will be evaluated in accordance with the Technical Evaluation Criteria set forth below. Thereafter, the cost application of all applicants submitting a technically acceptable application will be opened and costs will be evaluated for general reasonableness, allowability, and allocability. To the extent that they are necessary (if award is made based on initial applications); negotiations will then be conducted with all applicants whose application, after discussion and negotiation, has a reasonable chance of being selected for award. Awards will be made to responsible applicants whose applications offer the greatest value, cost and other factors considered.

Awards will be made based on the ranking of proposals according to the technical selection criteria identified below.

Technical Evaluation Criteria

Technical applications will be evaluated according to the following criteria. The relative importance of each criterion is indicated by the number of points assigned; a total of **100 points** is possible.

1. Technical Approach (45 points)

- a. Extent to which the proposed technical and M&E approach, including descriptions of strategies and their rationale, is clear, well-conceived, technically sound, reflecting an understanding of opportunities and problems likely to be encountered, and directly addressing the objectives identified in the Program Description. (35 points)
- b. Extent to which the mobilization plan allows for a successful and quick launch to implement the activity. (5 points)
- c. Extent to which the application considers USAID's cross-cutting emphases and tools that are appropriate for this project and the gender issues are well addressed. (5 points)

2. Institutional/Corporate Capability (20 points)

Extent to which the applicant demonstrates evidence of effectiveness in organization, staffing and management of relevant community-based education programs, as well as demonstrated capability to coordinate diverse activities that produced documented, quantifiable effective results; and ability to work in post-conflict, highly insecure environments.

3. Key Personnel/Management (20 points)

- a) Extent to which the staffing plan/team structure, especially the proposed key personnel, demonstrates the applicant's ability to implement the project. Relevant experience, prior work in post-conflict countries, and demonstrated technical and/or managerial skills will be given the most weight.
- b) Extent to which the management plan demonstrates sound business practices so as to successfully respond to the program description over the life of the agreement.

4. Past Performance (15 points)

Extent to which the applicant's reputation with former or current partners demonstrates the applicant's past performance for the following:

- a) Adhering to the terms and conditions of its contracts, or grants, including the technical, business and administrative aspects of performance;
- b) Demonstrating a commitment to partner satisfaction; demonstrated experience in carrying out education development programs; proven track-record in grants administration; demonstrated programmatic experience in and understanding of community-based education;
- c) Pursuing excellence in all aspects of its business and successful financial performance.

Best-Value Decision

The applicants' proposed cost applications will not be scored but will be a selection factor and considered in making a best value terms of the total proposed ceiling price of the cooperative agreement.

Following the technical review process, a cost-realism analysis will be conducted on the most highly ranked technical applications. The award selection will be made on a best value (technical or non-cost versus cost tradeoff) basis, where non-cost factors will be significantly more important than cost.

SECTION C - PROGRAM DESCRIPTION

Afghanistan Community-Based Education Project

The goal of USAID's five-year education strategy is to increase access to quality education. This project supports that goal by strengthening and increasing community-based education where there are no government schools. Community-based education encompasses non-government schools that are supported by the community and/or civil society organizations (CSOs) and that are located either in homes or in community facilities. The rationale for strengthening and increasing community-based education is that the government will depend for many years on partnership with communities and CSOs to provide good-quality basic education to all.

Context

Afghanistan's education sector has experienced an unprecedented level of change over the past years. In 2004 an estimated 4.6 million children were enrolled in school, compared to less than 800 thousand students during the 1990s.¹ The number of teachers has also increased from approximately 70 thousand during 2002 to 110 thousand in 2005. The commitment of parents to send their children to school reflects the desire to provide a better future for their families and their country.

Despite this commitment, students, parents and teachers face significant obstacles. The 23 years of conflict in Afghanistan have had a profound effect on a government education system that has only just begun to strengthen and expand. Education did not begin to significantly expand in Afghanistan until the 1960s.² After only 20 years of real development, education during the years of conflict that began in 1979 was all but destroyed. In the absence of a functioning education system, Afghan communities developed their own response to the learning needs of children. This was based on a tradition of providing education through community facilities such as mosques and homes. These schools were particularly important during the Taliban government of Afghanistan, as they allowed some girls to continue their education.

In the current context of Afghanistan, where education is in high demand, parents are again developing a trust in government schools, but these schools are not accessible to all communities, and even where they are, not all parents allow their daughters to be taught by male teachers from outside the community. In these circumstances, some communities are establishing their own schools.

Studies conducted on community involvement in education plans and activities have shown that parents tend to believe that it is fully the responsibility of the government to provide free basic education. Although free education is guaranteed in the 1383 Constitution of Afghanistan, in reality the Ministry of Education (MOE) has limited capacity to respond to the enormous educational needs of the country on a village by village basis. It is through the support of communities that education facilities can be strengthened and expanded.

Government Primary Schools

In 2005 Afghanistan has 4.6 million children in 8 thousand schools, taught by approximately 110 thousand teachers.³

There is no data-based estimate of how many children are enrolled in school or attend regularly. In 2002 and 2003 UNICEF conducted two separate Rapid Assessment of Learning Spaces (RALS) studies. In 2004 the MOE with

¹ Figures from the UNICEF-support EMIS report and Samady, Said (2001), *Education and Afghan Society in the Twentieth Century*. UNESCO, Paris [<http://unesdoc.unesco.org/images/0012/001246/124627e.pdf>]

² The early expansion of the education system in Afghanistan can be seen through the expansion of teacher training facilities. In 1940 there was one teacher-training institute in Kabul with only 20 teachers and 500 students. In 1950 this increased to 30 teachers and 750 students. In 1960 the number of teacher training facilities increased to six and a corresponding increase to 156 teachers and 3,900 students (UNESCO, 2001, p.57).

³ Ministry of Education data from the UNICEF-supported EMIS. This includes primary and secondary schools.

UNICEF support created a national Education Management Information System (EMIS), but it has not yet officially released data, due to complications with the data entry process. Once completed, the EMIS analyses should provide information on the number of students enrolled in school, the number of teachers per school and the number of MOE registered schools on a district by district basis. It does not have information on student attendance or dropouts. The RALS and EMIS studies have been primarily limited to MOE registered schools.

The Ministry of Education, which governs and administers government schools, has a presence in each of the 34 provinces through the Provincial Education Departments (PEDs), which are responsible for administration of schools and teachers in the province. As there is no regional administrative structure in Afghanistan, each PED reports directly to the central MOE.

The basic education curriculum officially covers grades 1 through 9, though as of 2005 only the grades 1 through 6 curricula had been revised and many primary schools go only through grade 6 (many have even fewer grade levels).

Non-Government Schools

Many schools that were operated by national and international CSOs during the years of conflict have largely been handed over to the government. Yet limited and unofficial surveys indicate a significant number of small non-government schools, which are not registered with the government and not included in its EMIS data.

Schools not supported by government have different forms. Some are religious schools, either *mosque schools* for young children, taught by the imam, or *madrasahs*—schools that may extend through secondary and are taught by religious scholars. The non-religious schools have two forms. Some are small, one-classroom *home-based schools* held in a home or perhaps a mosque and taught by a volunteer; many do not go beyond grade 4. Others are larger, combining several home schools and, in some cases, using existing community buildings or something built to house the school. These are called *community-based schools*; their teachers may be paid something by the community and/or by a CSO. Home-based and community-based schools follow the government curriculum. This project uses the term community-based schools to include home-based schools. This project will not provide assistance to religious schools.

The MOE recognizes the importance of community-based schools, though it does not have the resources to give them much support. The Teacher Training Department (TTD) is particularly interested in these schools, since many use volunteer teachers, who are critical in filling the gap between demand for primary school and government's resources for hiring teachers.

USAID's Strategy⁴

In May 2005 USAID/Afghanistan adopted a five-year strategy based on its Mission, which is to support the rapid transition of Afghanistan to a more stable and productive state through the promotion of democracy, rule of law and sustainable economic and social development that is responsive to citizens' needs. Its mission is centered on working with Afghans and others to achieve three interlinked Strategic Objectives:

- A thriving economy led by the private sector;
- A democratic government with broad citizen participation;
- A better educated and healthier population.
- A Program Support System is designed to facilitate results, linkages, and use of tools that cut across these three objectives. Themes, or emphases, supported by this system, which cut across all programs, are:
 - Women's rights;
 - Conflict prevention, mitigation and resolution;
 - Counter-narcotics interventions.
- Tools that the mission is investing in to support all programs are:

⁴ The complete USAID strategy is attached.

- USAID Field Program Officers (FPOs) and Provincial Reconstruction Teams (PRTs);⁵
- Information technology (IT);
- USAID's Global Development Alliances (GDAs);
- Support for the public sector wage bill through the Afghan Reconstruction Trust Fund;
- Support to other government national programs, including the National Solidarity Program (NSP).⁶

Each of USAID/Afghanistan's strategic objectives has three aspects: stability, reform, and capacity-building.

- **Stability** is an essential and immediate aim in helping fragile states. In the next year or so Afghans deserve to see significant, visible signs of positive change. The strategy continues current efforts to work with and through the government to provide security and stability in the immediate future. Key activities to restore stability include rebuilding infrastructure for transportation, power and water supply; reconstruction of public buildings, including schools, clinics, and courts; and administration of fair elections.
- **Reform** of the conditions and policies that impede progress and foster fragility are well under way. During the next two or three years, USAID will help the government and private sector lay the foundation for further changes that will improve the lives of the people. These include new legislation and practices that create and sustain a market economy, reformed judicial processes, governance institutions, role and rights of the media, education and health systems policies, and the financing of public services.
- **Capacity-building** of institutions and infrastructure to support development is essential to the endurance of stability and reforms. The strategy supports long-term development and lasting transformation of a fragile state into a strong one. Building capacity will require incentives for private sector investment as well as prolonged support for public institutions. USAID/Afghanistan will build capacity in the ministries of commerce, education, health, justice, labor, rural development, agriculture, and those responsible for building and maintaining transport, energy, and water infrastructure.

USAID's Basic Education Strategy⁷

USAID's current education program was designed in 2002 to meet the urgent need for school building, textbook printing, teacher training, and accelerated learning for over-aged students who had been denied an education under the Taliban. The program has largely focused on primary education. Program results to date include 315 schools built or renovated; forty-eight million textbooks printed; weekly radio-based teacher training reaching 65,000 primary teachers; and accelerated learning program operating in 17 of Afghanistan's 34 provinces with 170,000 mostly girl students enrolled. USAID also provides limited technical assistance to strengthen capacity at the MOE and the Ministry of Higher Education (MOHE).

USAID's overall education strategy includes support to basic education, higher education, literacy and non-formal education for adults, and vocational training led by the private sector. In each of these sub-sectors, USAID will focus on improving teaching. By 2006, the agency will support implementation of projects to improve (1) basic education teacher training and the systems that support teachers; (2) teacher education in institutes of higher education, (3) training for youth and adults in integrated literacy; and (4) increased access to quality education in community schools. USAID also has a program of school (and clinic) construction throughout the country. Under this strategy, USAID will also continue to build schools and educational facilities.

⁵ FPOs are the "eyes and ears" of the mission, working throughout the country and helping to monitor and support mission programs and projects; FPOs live at PRT bases—military bases from which civil affairs as well as other operations are conducted.

⁶ The Ministry of Rural Rehabilitation and Development (MRRD) is implementing a large National Solidarity Program (NSP), which seeks to improve community management and decision making processes. The NSP was initiated with international support, in August 2003. For more on the NSP see <http://www.af/resources/npp/Drafts%20for%20Web/NSP/NSP%20Strategy.doc>

⁷ The USAID basic education strategy is attached.

To improve basic education in the coming five years, USAID will work in partnership with local communities and the MOE to: expand the number and quality of schools with an emphasis on overcoming resistance to school enrollment; promote gender equity and reach underserved areas; improve teachers' subject knowledge and teaching skills through comprehensive teacher training; and strengthen MOE capacity to plan, manage, and sustain quality teaching.

USAID's Basic Education Project

The Basic Education Project (2006-10) is intended to improve teaching and strengthen the teaching force in primary schools. It will develop the curriculum, syllabi and materials for training all primary school teachers and deliver that training through various channels, including face-to-face training and radio. The project will also strengthen the capacity of the MOE, particularly its Department of Teacher Training, to provide training and support to teachers.⁸

Expected Results of This Project

The long-term goal of the Afghan government is to provide free basic education to all. Yet the availability of public resources for basic education will continue to vary throughout the country for years. In the near future, many schools will have little or no access to MOE resources such as teacher training and supervision, curricula, teaching and learning materials and teacher salary support. These schools will depend on CSO support, including that of local CSOs.

Over a duration of five years, this project (2006-10) will help communities that are not yet adequately served by the MOE provide basic education and to raise the quality of that education. Specifically, more communities will have good-quality primary schools benefiting from the active support of international and local CSOs.

Communities will offer primary education with a holistic approach to basic education, extending services to youth, adults, and pre-school children wherever there is enough demand and sufficient resources. Whenever feasible and desired, basic education will be linked with other basic services.

Applicants are expected to develop a project that will achieve the following project objectives:

1. Improve the quality of community-based education, particularly teaching;
2. Expand access to community-based schools, particularly for girls and women, where MOE schools are not available;
3. Strengthen community structures and processes that support basic education;
4. Build the long-term capacity of local CSOs to support and sustain community-based education; and
5. Develop modes of cooperation between community-based and MOE schools and promote MOE recognition of and support for community-based education.

Objectives 1 and 2 and 3 are addressed in Component I; Objectives 4 and 5 are addressed in Component II (discussed below).

The project is intended to complement USAID's Basic Education Project (BEP). While the BEP aims to help the MOE improve its system of teacher training and support, this project—the Community-Based Education Project—will help CSOs support non-formal schools in remote or otherwise disadvantaged areas and support government policies that serve community-based schools. It will also help these schools foster community support and provide basic education services within a broad context of community services.

⁸ The Basic Education Project (BEP), scheduled to begin in January 2006, is described in the RFP posted on www.fedbizopps.gov.

The project will take opportunities to link its activities with other community projects that share common objectives, including the literacy components of the National Solidarity Program (NSP) and other community-based education efforts.

Component I. Strengthen Community-Based Education

CSOs have worked with communities in Afghanistan for decades to provide basic education to children, youth and adults. They have helped communities build and operate schools. Some have also helped communities support government schools. These kinds of efforts, both in Afghanistan and beyond, have demonstrated the critical importance of CSO and community support to basic education, especially where governments cannot offer the full range of resources needed to provide high-quality education.

Improving the quality of community-based schools, particularly teaching, is a critical component of support to community schools. Many teachers in community-based schools have had no training and have less than adequate skills and knowledge for their job. They also lack instructional materials and guidance in using materials. Also, there are many communities where no schooling is currently available, or, available only to boys.

Aside from expanding access and improving teaching and other components of instruction, CSO activities in education have varied from one community to another and one district to another, depending on circumstances. Recognizing that the need for stronger community support, the nature of that support, and strategies for strengthening support will continue to vary, the project intends to support a flexible project that can tailor assistance to varying needs, yet develop and maintain a core set of good practices and guidelines for working with each community.

In each community, basic education for participants might benefit from other activities, including but not limited to the following:

- **School support organizations, such as PTAs and School Management Committees (SMCs), and community organizations that support a range of education programs, including primary schools.** Most communities need some institutional mechanism to link community members to school staff, but not all will have the same mechanism. In some cases, a strong PTA might function well, while in others a community education committee that oversees the school and other services might work better. Some communities may have more than one formal linkage group. The MOE recognizes the value of PTAs. At the end of 2004 its Extra Curricula Department, released the Afghanistan Parents and Teachers Association Statute,⁹ which outlines the goals of PTAs, their responsibilities, the method of selection for members, the role of parents in children's education and the procedure for school grant expenditures. Though PTAs have been developed in a range of communities across the country, many schools do not have one, and many of those in place have weak capacity.
- **Repair existing facilities and construction of new schools or classrooms.** The state of the school's infrastructure and requirements and the community's competing demands for resources will determine whether the community should consider building a new school, repairing or expanding the existing facility. The project will support communities' efforts to determine the best use of their resources, sources of additional resources, and feasible plans for construction. The project will not directly provide construction materials, labor, or cash for construction.
- **Extension of basic education services to other age groups.** Not all communities demand education beyond primary school. In many cases, older youth, previously unable to attend primary school, will want an accelerated learning program. In some cases, adult literacy services instituted by government agencies or CSOs may be available. Some communities may recognize the need for early childhood programs: to

⁹ Ministry of Education, Extra Curricula Department, Associations General Department (2004). *Afghanistan Parents and Teachers Association Statute*, Kabul, Afghanistan.

free young girls during school hours, to help mothers learn the value of basic education, and/or to provide integrated early childhood learning and health services to families.

- **Accelerated learning** programs in Afghanistan have succeeded in giving a basic education to many who are above primary-school age. In 2002 UNICEF helped the MOE to offer classes during the winter break for overage girl students, condensing a one-year curriculum into three months. Following this pilot initiative other organizations, including USAID's Afghanistan Primary Education Project (APEP) have also supported accelerated learning programs.
- **Early childhood care and development** opportunities are currently quite limited. The Ministry of Labor and Social Affairs supports the facilities and staff salaries of more than 100 kindergartens (*kodakistans*) throughout the country, which are linked to government ministries and concentrated in the five main urban centers. They resemble institutional day care centers rather than early learning groups. The MOE is responsible for the curriculum for pre-primary education, which has not been reviewed since the 1970s and emphasizes memorizing grade 1- subject content. Play and creativity is not presently a central part of the curriculum. A more appropriate and economically viable approach to providing early learning opportunities for children is one that is community-based and builds on the natural early learning interests of children. A number of community-based early learning groups were piloted in 2003 in Shomali plains, just outside of Kabul. These groups, which build on existing community facilities, provided attractive educational activities for pre-primary children. The first groups have now expanded, and the lessons learned from this project have been shared with other organizations. Many of the groups are linked to adult literacy programs or add a pre-primary education classroom to an existing school, where perhaps older siblings are attending. Most early-learning community groups are facilitated by volunteers from within the community.
- **Youth and adults services** are delivered on a limited basis by the MOE through its department for non-formal education. The most effective literacy programs however are non-government, many of which are supported by CSOs and international donor agencies. USAID-supported literacy programs have been initiated under the health sector within the REACH project, training community healthcare workers and midwives to achieve grade equivalency in literacy; in the gender and social development sector, an integrated community development program offers training in functional literacy for 10-25 year olds. Limited programs have been set up to respond to the needs of ex-combatants who want literacy classes.
- **Integrated delivery of basic services.** In some communities, government programs, such as the National Solidarity Program (NSP) and/or CSOs are helping to deliver integrated services that include basic education along with basic health and other social services. In each community with an NSP program a Community Development Council (CDC) has been established. In these communities and others with similar institutional structures, strategies to increase access and improve the quality of basic education should be set in that context. USAID's BEP and the World Bank's EQUIP project are large-scale efforts that support community-school linkages. The BEP's support is simply a mandate to the implementation agents to work with this Community-Based Education project and other projects to strengthen such linkages. The EQUIP project, in contrast, funds the MOE to support community involvement in education in ten provinces.¹⁰ Activities include developing and strengthening PTAs and SMCs.¹¹ SMCs are responsible for enhancing school quality and improving school infrastructure. They are to develop plans to be funded through grants from the MOE. EQUIP grants go only to government schools, and the project also aims to link communities with district and provincial education officials. To receive funds from EQUIP, the school must enroll girls.

¹⁰ The EQUIP project provides \$21 million for activities, quality enhancement grants, and school construction grants.

¹¹ According to the World Bank, PTAs represent all members of the community and may hold community meetings with many parents and teachers. The SMC is the elected decision-making body for the community's education plans. What the World Bank defines as SMCs, the MOE defines as PTAs. Unless otherwise specified, this document will refer to the government's definition of PTAs.

Requested for Application (Component 1)

The applicant shall describe its strategy for providing increased quality education in community-based schools to achieve the objectives under this component: improved quality of community-based education, particularly teaching; expanded access to community-based schools particularly for girls and women, where MOE schools are not available (note that the question of scope is addressed below) and; strengthened community support for basic education.

The strategy should be based on a reasonably accurate assessment of the particular needs of the proposed service areas—either an assessment that has already been done, one planned to be done by another agency, or one to be conducted by the applicant once the project begins. The assessment should include information about who is receiving basic education and who is not, the quality of education, and what needs to be done to improve learning. The project application should indicate how the applicant would collect and analyze such information in communities where it is not available. Such assessments should be done cooperatively with—or at least not duplicate the work of—the MOE’s EMIS activities and those of other basic education programs and projects, including USAID’s BEP.

The strategy should indicate what a minimum package of support might include and how the varying needs among communities would be addressed. It is not expected that every community program would include all community-support measures bulleted above. While USAID would expect that every community needs some kind of school-support organization, some communities might not require school construction/repair, extension of basic education to other age groups, or integration of services. The applicant might also propose measures that, either in the minimum package or in selected communities, are not suggested here.

Help community schools make use of local CSOs and cooperate with government schools

Since 2002 five international CSOs have been working together in the Afghan Basic Education Consortium (ABEC) to pilot gender-sensitive, community-based education in under-served communities. Several other CSOs have also worked toward these goals. All of them have been testing innovative approaches to help communities strengthen their schools and extend services to more members.

At the same time as CSOs have been at work, the MOE has made progress in its plans for improving primary education. As described above, USAID’s Basic Education Project (BEP) is expected to help the MOE expand and improve good-quality teaching. UNICEF has helped the MOE develop broad standards and a new curriculum for grades 1-6. JICA is developing materials to help teachers in grades 1-3 use the curriculum. The EQUIP project funded by the World Bank and Norway supports school construction and Ministry of Education capacity building in ten provinces: Bamyān, Badakshan, Kapisa, Logar, Parwan, Paktika, Khost, Kandahar, Zabul, and Helmand (or Ghazni).

The MOE is focusing on improving teacher training and support, curricula and materials, policies that improve education quality, and research and monitoring.

- **Teacher training and support.** The ministry’s Teacher Training Department (TTD) has begun rapid in-service teacher training to all MOE teachers and is working toward bringing teacher training as close to the school and teacher as possible. This effort is supported by the Teacher Education Program (TEP), which is a government-donor collaboration to develop a national framework and strategic plan for the professional development of teachers. TEP will reform pre-service training (PRESET) and establish a new system of in-service training (INSET). The TEP is becoming the TTD’s strategic plan of action for teacher professional development. It includes a revision of the pre-service teacher training curriculum and use of distance learning channels. USAID’s BEP is intended to support the TEP; a more detailed description of the TTD, the TEP, and the BEP are available in the BEP Request for Applications. The BEP does not cover CSO schools, though cooperation between the BEP and this project may well provide for opportunities for synergistic strategies.

- **New curricula and materials.** The MOE now has a new curriculum and textbooks for most of the subjects in grades 1 through 6 and is soon to have guides that aid teachers in using the curriculum (these will be developed with assistance from JICA, but to date the MOE has no plans or resources for distributing them beyond five provinces that JICA will support). In the meantime, most community-based schools have no textbooks or other teaching and learning materials supplied by the ministry. CSOs have helped the schools they support develop and acquire learning materials, but this function may eventually shrink when the MOE begins to develop and provide textbooks. That is not likely to happen during the term of this project. CSOs and the MOE need to work together to explore areas of cooperation on a short-term and long-term basis in the development and delivery of learning materials to non-government schools.
- **School accreditation and teacher certification.** Important issues need to be resolved regarding the status of non-government schools and teachers who have not been certified by attending government schools. Government schools are accredited: students who complete a grade in a government primary school education are eligible to enter the next grade level in any other government school, and those who complete primary school are eligible to enter lower secondary school. Non-government community schools, however, are not accredited, and there is no clear policy regarding the status of participants who have completed grades in these schools. The MOE does not have comprehensive information about where these schools are, who attends them, and what the quality of instruction is. Yet there is evidence that quality is as good as that in government schools.¹² Many primary school teachers, even in government schools, are not recognized by the MOE because they do not meet its criteria, which include completion of a high school education and a teacher training course. As described earlier, the MOE has begun in-service training programs that will eventually allow teachers to become certified while on the job. It is considering a course that would lead all teachers, regardless of previous qualifications and experience, to a credential. It could be delivered through in-service and pre-service training programs. CSOs that support non-government schools and uncertified teachers have a large stake in the resolution of these issues, and the project will address them.
- **Research and monitoring.** Though the MOE has had some support in developing an EMIS, it has not had the time or resources to engage local officials or schools in regular monitoring of data—enrolments, resource-pupil ratios, teacher attendance and performance, student performance, etc. Building such comprehensive monitoring systems will take time, but in the meantime, some partial, small-scale monitoring efforts would benefit both communities and the ministry. Likewise, the MOE has not undertaken any inquiry-based research to learn about how students are learning, what methods seem to be effective, how student performance varies among communities, what constrains teachers, and so on. Again, small-scale and pilot research projects would benefit the ministry as well as the communities that are subjects of such studies.

Requested for Applications (Component 2)

The applicant shall describe an approach to achieve the objectives under this component that include: strengthened capacity of local (Afghan) CSOs, including CSOs not working directly on this project, to provide sustainable support to community-based schools; and developed modes of cooperation between community-based and MOE schools, including increased MOE recognition and support for community-based education.

Where possible, the strategy should build on existing CSO and government programs and evolving institutions, such as the NSP. The application should discuss how local CSOs would be selected for participation in the

¹² A 2004 study conducted showed that students who attend non-government schools are as committed to learning as those in MOE schools and that teachers are attentive to individual needs (Kirk, Jackie, *IRC healing classrooms initiative: a follow-up study in Afghanistan (draft)*, International Rescue Committee, Afghanistan.) A 2000 study conducted in the Afghan refugee camps in Balouchistan showed that students in community home based schools had consistently higher grades than those students studying at the government supported nearby schools (Andrea Rugh and John Gillies, *Base Line Study of Teaching and Learning in SC/US Afghan Refugee Schools of Balouchistan*, Academy for Educational Development, Washington, DC.

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project, the types of activities in which local CSOs would be included, and how their growth in capacity would be monitored. The application should also discuss ways to share best practices, support and feature innovative approaches, and promote networking of CSO/community-based education practitioners.

The applicant shall describe how it would support policies and practices at the district, province, and national levels that enhance cooperation between MOE (formal) schools and CSO (non-formal) schools in providing good-quality basic education to all participants. This project is not expected to build capacity of the MOE. That is a task of the BEP project. This project should, however, engage MOE staff and schools in project activities insofar as this kind of cooperation benefits community schools and applies a holistic approach to basic education in the communities served. Such activities might include, for example:

- Promoting a network of community-based educators;
- The development of clusters of schools in which both community-based and MOE schools are included;
- Teacher-training or materials-development workshops for all teachers in the community;
- Assessments of community needs for basic education: enrollment rates (including girls'), teacher-student ratios, teachers' qualifications and competence, availability of instructional materials, community support mechanisms, and so on.

Of equal importance is the promotion of MOE support for, recognition of, and linkages with community-based education at the national level to address policy and program issues.

The applicant should also discuss how it would help prevent the eventual development of a parallel system of government and non-government schools.

Scope

USAID intends for this project to build on CSO programs that already provide support to community-based schools. The project will support continuation of existing efforts as well as the expansion of programs to additional schools and learners. This project is not expected to cover broad swaths of the country, but it should allow for a significant expansion of current activities on a rational and systematic basis. It should reach as many communities as possible within the estimated project budget. The application should describe the applicant's strategy for selecting communities to be served.

Requested For Applications (Scope)

The applicant shall specify the scope of its application. Which areas of the country will be served? On what basis are these areas selected? In each area, approximately how many and what portion of participants, particularly girls and women, will be reached by community-based schools? Approximately how many participants do these schools currently reach? What is the rate of expansion of activities from the present level?

**SECTION D -U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT
CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF RECIPIENT [1][2]**

PART II - OTHER STATEMENTS OF RECIPIENT

1. AUTHORIZED INDIVIDUALS

The recipient represents that the following persons are authorized to negotiate on its behalf with the Government and to bind the recipient in connection with this application or grant:

NAME	TITLE	TELEPHONE NO.	FACSIMILE NO.

2. TAXPAYER IDENTIFICATION NUMBER (TIN)

If the recipient is a U.S. organization, or a foreign organization which has income effectively connected with the conduct of activities in the U.S. or has an office or a place of business or a fiscal paying agent in the U.S., please indicate the recipient's TIN:

TIN: _____

3. CONTRACTOR IDENTIFICATION NUMBER - DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

1. In the space provided at the end of this provision, the recipient should supply the Data Universal Numbering System (DUNS) number applicable to that name and address. Recipients should take care to report the number that identifies the recipient's name and address exactly as stated in the proposal.

2. The DUNS is a 9-digit number assigned by Dun and Bradstreet Information Services. If the recipient does not have a DUNS number, the recipient should call Dun and Bradstreet directly at 1-800-333-0505. A DUNS number will be provided immediately by telephone at no charge to the recipient. The recipient should be prepared to provide the following information:

- a) Recipient's name.
- b) Recipient's address.
- c) Recipient's telephone number.
- d) Line of business.
- e) Chief executive officer/key manager.
- f) Date the organization was started.
- g) Number of people employed by the recipient.
- h) Company affiliation.

3. Recipients located outside the United States may obtain the location and phone number of the local Dun and Bradstreet Information Services office from the Internet Home Page at <http://www.dbisna.com/dbis/customer/custlist.htm>. If an offeror is unable to locate a local service center, it may send an e-mail to Dun and Bradstreet at globalinfo@dbisma.com.

The DUNS system is distinct from the Federal Taxpayer Identification Number (TIN) system.

DUNS: _____

4. LETTER OF CREDIT (LOC) NUMBER

If the recipient has an existing Letter of Credit (LOC) with USAID, please indicate the LOC number:

LOC: _____

5. PROCUREMENT INFORMATION

1. **Applicability.** This applies to the procurement of goods and services planned by the recipient (i.e., contracts, purchase orders, etc.) from a supplier of goods or services for the direct use or benefit of the recipient in conducting the program supported by the grant, and not to assistance provided by the recipient (i.e., a sub-grant or sub-agreement) to a sub-grantee or sub-recipient in support of the sub-grantee's or sub-recipient's program. Provision by the recipient of the requested information does not, in and of itself, constitute USAID approval.

2. **Amount of Procurement.** Please indicate the total estimated dollar amount of goods and services which the recipient plans to purchase under the grant:

\$ _____

3. **Nonexpendable Property.** If the recipient plans to purchase nonexpendable equipment which would require the approval of the Agreement Officer, please indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs. Nonexpendable equipment for which the Agreement Officer's approval to purchase is required is any article of nonexpendable tangible personal property charged directly to the grant, having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

TYPE/DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST

4. **Source, Origin, and Component of Goods.** If the recipient plans to purchase any goods/commodities which are not of U.S. source and/or U.S. origin, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source and/or origin. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located therein at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received therein, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Any commodity whose source is a non-Free World country is ineligible for USAID financing. The "origin" of a commodity is the country or area in which a commodity is mined, grown, or produced. A commodity is produced when, through manufacturing, processing, or substantial and major assembling of components, a commercially recognized new commodity result, which is substantially different in basic characteristics or in purpose or utility from its components. Merely packaging various items together for a particular procurement or re-labeling items does not constitute production of a commodity. Any commodity whose origin is a non-Free World country is ineligible for USAID financing. "Components" are the goods which go directly into the production of a produced commodity. Any component from a non-Free World country makes the commodity ineligible for USAID financing.

TYPE/DESCRIPTION (Generic)	QUANTITY EST. COST	GOODS UNIT COMPONENT	PROBABLE GOODS SOURCE	PROBABLE COMPONENT'S ORIGIN

5. **Restricted Goods.** If the recipient plans to purchase any restricted goods, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, intended use, and probable source and/or origin. Restricted goods are Agricultural Commodities, Motor Vehicles, Pharmaceuticals, Pesticides, Rubber Compounding Chemicals and Plasticizers, Used Equipment, U.S. Government-Owned Excess Property, and Fertilizer.

TYPE/DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST	PROBABLE SOURCE OF ORIGIN	INTENDED USE

6. **Supplier Nationality.** If the recipient plans to purchase any goods or services from suppliers of goods and services whose nationality is not in the U.S., please indicate below (using a continuation page, as necessary) the types and quantities of each good or service, estimated costs of each, probable nationality of each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier. Any supplier whose nationality is a non-Free World country is ineligible for USAID financing.

TYPE/DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST	PROBABLE SUPPLIER (Non-US Only)	NATIONALITY for NON-US	RATIONAL

7. **Proposed Disposition.** If the recipient plans to purchase any nonexpendable equipment with a unit acquisition cost of \$5,000 or more, please indicate below (using a continuation page, as necessary) the proposed disposition of each such item. Generally, the recipient may either retain the property for other uses and make compensation to USAID (computed by applying the percentage of federal participation in the cost of the original program to the current fair market value of the property), or sell the property and reimburse USAID an amount computed by applying to the sales proceeds the percentage of federal participation in the cost of the original program (except that the recipient may deduct from the federal share \$500 or 10% of the proceeds, whichever is greater, for selling and handling expenses), or donate the property to a host country institution, or otherwise dispose of the property as instructed by USAID.

TYPE/DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST	PROPOSED DISPOSITION

6. PAST PERFORMANCE REFERENCES

On a continuation page, please provide a list of the ten most current U.S. Government and/or privately-funded contracts, grants, cooperative agreements, etc., and the name, address, and telephone number of the Contract/Agreement Officer or other contact person.

7. TYPE OF ORGANIZATION

The recipient, by checking the applicable box, represents that -

- a) If the recipient is a U.S. entity, it operates as ☐ a corporation incorporated under the laws of the State of, ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a state or local governmental organization, ☐ a private college or university, ☐ a public college or university, ☐ an international organization, or ☐ a joint venture; or
- b) If the recipient is a non-U.S. entity, it operates as ☐ a corporation organized under the laws of _____ (country), ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a nongovernmental educational institution, ☐ a governmental organization, ☐ an international organization, or ☐ a joint venture.

8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

The following are the estimate(s) of the cost of each separate communications product (i.e., any printed material [other than non-color photocopy material], photographic services, or video production services) which is anticipated under the grant. Each estimate must include all the costs associated with preparation and execution of the product. Use a continuation page as necessary.

**CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND
VOLUNTARY EXCLUSION LOWER TIER COVERED TRANSACTIONS**

1. Instructions for Certification

- a) By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
- b) The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
- c) The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
- d) The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, has the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. 1/ you may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
- e) The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
- f) The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-- Lower Tier covered Transaction," 2/ without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
- g) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non procurement List.
- h) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- i) Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

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Community-Based Education

2. Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions
- a) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
 - b) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Solicitation No. _____

Application/Proposal No. _____

Date of Application/Proposal _____

Name of Applicant/Subgrantee _____

Typed Name and Title _____

Signature _____

NOTICE:

- 1. See ADS Chapter 303, 22 CFR 208.
- 2. For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the USAID grant standard provision for U.S. nongovernmental organizations entitled "Debarment, Suspension, and Related Matters" (see ADS Chapter 303), or in the USAID grant standard provision for non-U.S. nongovernmental organizations entitled "Debarment, Suspension, and Other Responsibility Matters" (see ADS Chapter 303).

KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
2. I am not and have not been an illicit trafficker in any such drug or controlled substance.
3. I am not and have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature: _____

Date: _____

Name: _____

Title/Position: _____

Organization: _____

Address: _____

Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.
2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

1. I hereby certify that within the last ten years:
 - a) I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
 - b) I am not and have not been an illicit trafficker in any such drug or controlled substance.
 - c) I am not or have not been a knowing assister, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.
2. I understand that USAID may terminate my training if it is determined that I engaged in the above conduct during the last ten years or during my USAID training.

Signature: _____

Name: _____

Date: _____

Address: _____

Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain participants must sign this Certification.
2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

FORMATS\GRNTCERT: Rev. 06/16/97 (ADS 303.6, E303.5.6a) When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement". The recipient must obtain from each identified subgrantee and (sub)contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment A hereto. The recipient should reproduce additional copies as necessary. See ADS Chapter E303.5.6a, 22 CFR 208, Annex1, App A. For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the recipient is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the recipient is a non-U.S. nongovernmental organization.

CERTIFICATION REGARDING MATERIAL SUPPORT AND RESOURCES

As a condition of entering into the referenced agreement, _____ hereby certifies that it has not provided and will not provide material support or resources to any individual or entity that it knows, or has reason to know, is an individual or entity that advocates, plans, sponsors, engages in, or has engaged in terrorist activity, including but not limited to the individuals and entities listed in the Annex to Executive Order 13224 and other such individuals and entities that may be later designated by the United States under any of the following authorities: § 219 of the Immigration and Nationality Act, as amended (8 U.S.C. § 1189), the International Emergency Economic Powers Act (50 U.S.C. § 1701 et seq.), the National Emergencies Act (50 U.S.C. § 1601 et seq.), or § 212(a)(3)(B) of the Immigration and Nationality Act, as amended by the USA Patriot Act of 2001, Pub. L. 107-56 (October 26, 2001)(8 U.S.C. § 1182). _____ further certifies that it will not provide material support or resources to any individual or entity that it knows, or has reason to know, is acting as an agent for any individual or entity that advocates, plans, sponsors, engages in, or has engaged in, terrorist activity, or that has been so designated, or will immediately cease such support if an entity is so designated after the date of the referenced agreement.

For purposes of this certification, "material support and resources" includes currency or other financial securities, financial services, lodging, training, safe houses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials.

For purposes of this certification, "engage in terrorist activity" shall have the same meaning as in section 212(a)(3)(B)(iv) of the Immigration and Nationality Act, as amended (8 U.S.C. § 1182(a)(3)(B) (iv)).

For purposes of this certification, "entity" means a partnership, association, corporation, or other organization, group, or subgroup.

This certification is an express term and condition of the agreement and any violation of it shall be grounds for unilateral termination of the agreement by USAID prior to the end of its term.

Signature: _____

Name: _____

Date: _____

Address: _____

NOTICE:

If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

Survey on Ensuring Equal Opportunity for Applicants

OMB No. 1890-0014 Exp. 1/31/2006

Purpose: The Federal government is committed to ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. In order for us to better understand the population of applicants for Federal funds, we are asking nonprofit private organizations (not including private universities) to fill out this survey.

Upon receipt, the survey will be separated from the application. Information on the survey will not be considered in any way in making funding decisions and will not be included in the Federal grants database. While your help in this data collection process is greatly appreciated, completion of this survey is voluntary.

Instructions for Submitting the Survey: If you are applying using a hard copy application, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it along with your application package. If you are applying electronically, please submit this survey along with your application.

Applicant's (Organization) Name: _____

Applicant's DUNS Number: _____

Grant Name: _____ **CFDA Number:** _____

1. Does the applicant have 501(c)(3) status?

☐ Yes ☐ No

2. How many full-time equivalent employees does the applicant have? (Check only one box).

☐ 3 or Fewer ☐ 15-50
☐ 4-5 ☐ 51-100
☐ 6-12 ☐ over 100

3. What is the size of the applicant's annual budget? (Check only one box.)

☐ Less than \$150,000
☐ \$150,000 - \$299,999
☐ \$300,000 - \$499,999
☐ \$500,000 - \$999,999
☐ \$1,000,000 - \$4,999,999
☐ \$5,000,000 or more

4. Is the applicant a faith-based/religious organization?

☐ Yes ☐ No

5. Is the applicant a non-religious community based organization?

☐ Yes ☐ No

6. Is the applicant an intermediary that will manage the grant on behalf of other organizations?

☐ Yes ☐ No

7. Has the applicant ever received a government grant or contract (Federal, State, or local)?

☐ Yes ☐ No

8. Is the applicant a local affiliate of a national organization?

☐ Yes ☐ No

Survey Instructions on Ensuring Equal Opportunity for Applicants

Provide the applicant's (organization) name and DUNS number and the grant name and CFDA number.

1. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
2. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
3. Annual budget means the amount of money our organization spends each year on all of its activities.
4. Self-identify.
5. An organization is considered a community-based organization if its headquarters/service location shares the same zip code as the clients you serve.
6. An "intermediary" is an organization that enables a group of small organizations to receive and manage government funds by administering the grant on their behalf.
7. Self-explanatory.
8. Self-explanatory.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651.

If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, SW, ROB-3, Room 3671, Washington, D.C. 20202-4725.

APPLICATION FOR FEDERAL ASSISTANCE		2. DATE SUBMITTED	APPLICANT IDENTIFIER
1. TYPE OF SUBMISSION		3. DATE RECEIVED BY STATE	STATE APPLICATION IDENTIFIER
<div style="display: flex; justify-content: space-between;"> <div> Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction </div> <div> Preapplication <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction </div> </div>		4. DATE RECEIVED BY FEDERAL AGENCY	FEDERAL IDENTIFIER
5. APPLICANT INFORMATION			
Legal Name		Organizational Unit	
Address (Street, County, State and ZIP code)		Name and telephone number of person to be contacted on matters involving this application (give area code)	
6. EMPLOYER IDENTIFICATION NUMBER (EIN) <div style="border: 1px solid black; width: 100px; height: 20px; margin-top: 5px;"></div>		7. TYPE OF APPLICANT (enter appropriate letter in box)	
8. TYPE OF APPLICATION		<input type="checkbox"/> A. State <input type="checkbox"/> B. County <input type="checkbox"/> C. Municipal <input type="checkbox"/> D. Township <input type="checkbox"/> E. Interstate <input type="checkbox"/> F. Intermunicipal <input type="checkbox"/> G. Special District <input type="checkbox"/> H. Independent School Dist. <div style="margin-top: 10px;"> <input type="checkbox"/> I. State Controlled Institution of Higher Learning <input type="checkbox"/> J. Private University <input type="checkbox"/> K. Indian Tribe <input type="checkbox"/> L. Individual <input type="checkbox"/> M. Profit Organization <input type="checkbox"/> N. Other (Specify) _____ </div>	
<input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es) <div style="border: 1px solid black; width: 40px; height: 20px; display: inline-block; vertical-align: middle;"></div> <div style="display: flex; justify-content: space-around; margin-top: 5px;"> <div> <input type="checkbox"/> A. Increase Award <input type="checkbox"/> C. Increase Duration <input type="checkbox"/> E. Other (specify) _____ </div> <div> <input type="checkbox"/> B. Decrease Award <input type="checkbox"/> D. Decrease Duration </div> </div>			
9. NAME OF FEDERAL AGENCY			
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER		11. DESCRIPTIVE TITLE OF APPLICANTS PROJECT	
Title:			
12. AREAS AFFECTED BY PROJECT (Cities, Counties, Street, etc.)			
13. PROPOSED PROJECT		14. CONGRESSIONAL DISTRICTS OF	
Start Date	Ending Date	Applicant	Project
15. ESTIMATED FUNDING		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?	
a. Federal		a. YES. THIS PREAPPLICATION-APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON DATE _____ b. NO. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
b. Applicant			
c. State			
d. Local			
e. Other			
f. Program Income			
g. Total		17. IS THE APPLICATION DELINQUENT ON ANY FEDERAL DEBT?	
		<input type="checkbox"/> Yes If 'Yes', attach an explanation. <input type="checkbox"/> No	
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.			
a. Type Name of Authorized Representative		b. Title	c. Telephone Number
d. Signature of Authorized Representative		e. Date Signed	

BUDGET INFORMATION - Non-Construction Programs

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget			Total (g)
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)		
1.	-						
2.	-						
3.	-						
4.	-						
5. Totals							
6. Object Class Categories		Grant Program Function or Activity				Total (5)	
		(1)	(2)	(3)	(4)		
a. Personnel							
b. Fringe Benefits							
c. Travel							
d. Equipment							
e. Supplies							
f. Contractual							
g. Construction							
h. Other							
i. Total Direct Charges (Sum of 6a-6h)							
j. Indirect Charges							
k. TOTALS (Sum of 6i and 6j)							
7. Program Income							
Previous Edition Usable		Authorized for Local Reproduction			Standard Form 424A (Rev. 4/92) Prescribed by OMB Circular A-102		

BUDGET INFORMATION - Non-Construction Programs (cont'd)

(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8.				
9.				
10.				
11.				
12. TOTAL (Sum of lines 8-11)				
	Total Amt 1st Year	1st Quarter	2nd Quarter	3rd Quarter
13. Federal				4th Quarter
14. Non-Federal				
15. TOTAL (Sum of lines 13 and 14)				
(a) Grant Program	FUTURE FUNDING PERIODS (Years)			
	(b) First	(c) Second	(d) Third	(e) Fourth
16.				
17.				
18.				
19.				
20. TOTAL (Sum of lines 16-19)				
21. Direct Charges:	22. Indirect Charges:			
23. Remarks:				

INSTRUCTION FOR THE SF424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain application certification that States which have included in their process, have been given an opportunity to review the applicant's submission.

- | Item: | Entry: | Item: | Entry: |
|--|--------|---|--------|
| 1. Self-explanatory. | | 12. List only the largest political entities affected (e.g., State, counties, cities). | |
| 2. Date application submitted to Federal agency (or State if applicable) applicant's control number (if applicable). | | 13. Self-explanatory. | |
| 3. State use only (if applicable) | | 14. List the applicant's Congressional District and any District(s) affected by the program or project. | |
| 4. If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank. | | 15. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15. | |
| 5. Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application. | | 16. Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. | |
| 6. Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service. | | 17. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes. | |
| 7. Enter the appropriate letter in the space provided. | | 18. To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.) | |
| 8. Check appropriate box and enter appropriate letter(s) in the space(s) provided:

-- 'New' means a new assistance award.

-- 'Continuation' means an extension for an additional funding/budget period for a project with a projected completion date.

-- 'Revision' means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. | | | |
| 9. Name of Federal agency from which assistance is being requested with this application. | | | |
| 10. Use the Catalog of Federal Domestic Assistance Number and title of the program under which assistance is requested. | | | |
| 11. Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project. | | | |

INSTRUCTION FOR THE SF424A

Public reporting burden for this collection of information is estimated to average 180 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0044), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a - k of Section B.

Section A, Budget Summary Lines 1-4 Columns (a) and (b)

For applications pertaining to a single Federal grant program (Federal activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a single program requiring budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in Column (a) and the respective catalog number on each line in Column (b).

For applications pertaining to multiple programs where one or more programs require a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should always provide the summary totals by programs.

Lines 1-4 Columns (c) through (g)

For new applications, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For continuing grant program applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in Columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (c) and (f).

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (c) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (c) and (f).

Line 5 - Show the totals for all columns used

Section B Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4. Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a - i Show the totals of Lines 6a to 6h in each column.

Line 6j Show the amount of indirect cost.

Line 6k - Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount

in Column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Column (1) - (4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

Line 7 - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the Federal grantor agency in determining the total amount of the grant.

Section C. Non-Federal Resources

Lines 8-11 Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a) - Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary

Column (b) - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency.

Column (c) - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d) - Enter the amount of cash and in-kind contributions to be made from all other sources

Column (e) Enter total of columns (b), (c) and (d).

Line 12 - Enter the total for each of Columns (b)-(e). The amount in Column (c) should be equal to the amount on Line 5, Column (f), Section A.

Section D. Forecasted Cash Needs

Line 13 - Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14 - Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15 - Enter the totals of amounts on Lines 13 and 14.

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project.

Lines 16-19 - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary

Line 20 - Enter the total for each of the Columns (b)-(e). When schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

Section F. Other Budget Information

Line 21 - Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22 - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23 - Provide any other explanations or comments deemed necessary.

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. 14728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited by (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention. Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 cc-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other non-discrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. 276a to 276z - 276a-7), the Copeland Act (40 U.S.C. 276c and 18 U.S.C. 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.

ASSURANCES - NON-CONSTRUCTION PROGRAMS (cont'd)

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (E.O.) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. 1601 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. 1701 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
17. Will ensure to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984 or OMB Circular No. A-133, Audits of Institutions or Higher Learning and other Non-profit Institutions.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

PART I - CERTIFICATIONS AND ASSURANCES**1. ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS GOVERNING NON-DISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS**

- a) The recipient hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the grant for which application is being made, it will comply with the requirements of:
1. Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;
 2. Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;
 3. The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;
 4. Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and
 5. USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.
- b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.
- c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which was approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the recipient.

2. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS**a) Instructions for Certification**

1. By signing and/or submitting this application or grant, the recipient is providing the certification set out below.

2. The certification set out below is a material representation of fact upon which reliance was placed when the agency determined to award the grant. If it is later determined that the recipient knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
 3. For recipients other than individuals, Alternate I applies.
 4. For recipients who are individuals, Alternate II applies.
- b) Certification Regarding Drug-Free Workplace Requirements

Alternate I

1. The recipient certifies that it will provide a drug-free workplace by:
 - a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the applicant's/grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
 - b) Establishing a drug-free awareness program to inform employees about--
 1. The dangers of drug abuse in the workplace;
 2. The recipient's policy of maintaining a drug-free workplace;
 3. Any available drug counseling, rehabilitation, and employee assistance programs; and
 4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
 - c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (b)(1)(A);
 - d) Notifying the employee in the statement required by paragraph (b)(1)(A) that, as a condition of employment under the grant, the employee will--
 1. Abide by the terms of the statement; and
 2. Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;
 - e) Notifying the agency within ten days after receiving notice under subparagraph (b)(1)(D)1, from an employee or otherwise receiving actual notice of such conviction;
 - f) Taking one of the following actions, within 30 days of receiving notice under subparagraph (b)(1)(D)2., with respect to any employee who is so convicted--
 1. Taking appropriate personnel action against such an employee, up to and including termination; or
 2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

- g) Making a good faith effort to continue to maintain a drug- free workplace through implementation of paragraphs (b)(1)(A), (b)(1)(B), (b)(1)(C), (b)(1)(D), (b)(1)(E) and (b)(1)(F).
2. The recipient shall insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Alternate II

The recipient certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance in conducting any activity with the grant.

3. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS -- PRIMARY COVERED TRANSACTIONS [3]

a) Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meaning set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. [4] You may contact the

department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.
7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction," [5] provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the methods and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non-procurement List.
9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealing.
10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

b) Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

1. The prospective primary participant certifies to the best of its knowledge and belief, the it and its principals:
 - i. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
 - ii. Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - iii. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(B) of this certification;
 - iv. Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

2. Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

4. CERTIFICATION REGARDING LOBBYING

The undersigned certifies, to the best of his or her knowledge and belief, that:

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
3. The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

5. PROHIBITION ON ASSISTANCE TO DRUG TRAFFICKERS FOR COVERED COUNTRIES AND INDIVIDUALS (ADS 206)

USAID reserves the right to terminate this [Agreement/Contract], to demand a refund or take other appropriate measures if the [Grantee/ Contractor] is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140. The undersigned shall review USAID ADS 206 to determine if any certifications are required for Key Individuals or Covered Participants.

If there are COVERED PARTICIPANTS: USAID reserves the right to terminate assistance to, or take or take other appropriate measures with respect to, any participant approved by USAID who is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.

The recipient has reviewed and is familiar with the proposed grant format and the applicable regulations, and takes exception to the following (use a continuation page as necessary):

Solicitation No: _____

Application/Proposal No: _____

Date of Application/Proposal: _____

Name of Recipient: _____

Typed Name and Title: _____

Signature: _____ Date: _____

- [1] FORMATS\GRNTCERT: Rev. 06/16/97 (ADS 303.6, E303.5.6a)
- [2] When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement".
- [3] The recipient must obtain from each identified sub-grantee and (sub)contractor, and submit with its application/ proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment A hereto. The recipient should reproduce additional copies as necessary.
- [4] See ADS Chapter E303.5.6a, 22 CFR 208, Annex1, App A.
- [5] For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the recipient is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the recipient is a non-U.S. nongovernmental organization.